

N A T I O N A L

E N D O W M E N T

F O R T H E

H U M A N I T I E S

*Division of Education Programs*

## Summer Seminars and Institutes

Directors

*For College and  
University Teachers  
For School Teachers*

APPLICATION DEADLINE:  
March 1

## **APPLICATION SCHEDULE FOR SUMMER SEMINARS AND INSTITUTES**

<b>Deadline</b>	<b>Notification</b>	<b>Projects Beginning</b>
March 1	September	Early June (for college and university teachers)
		Late June (for school teachers)

### **Send all applications to:**

National Endowment for the Humanities  
Summer Seminars and Institutes  
Division of Education Programs  
1100 Pennsylvania Avenue, N.W.  
Washington, DC 20506

Telephone: 202/606-8463

E-mail address: sem-inst@neh.gov

NEH information and forms are also available on the  
World Wide Web at <http://www.neh.gov>

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## **Customer Service Standards**

### **In assisting you as a prospective applicant, you can expect us to:**

- o respond courteously and quickly to your requests for information about our grant programs;
- o be able to describe the programs that best suit your needs;
- o provide application instructions and forms that are clear and easy to use;
- o offer prompt and thoughtful advice and guidance in preparing your application;
- o explain accurately the procedures that would be used to evaluate your application and tell you when you could expect a decision.

### **In assisting you as an applicant, you can expect us to:**

- o ensure that the evaluation of your application is fair, expeditious, and informed by the expert judgments of your peers;
- o notify you promptly of the decision on your application;
- o provide substantive reasons for the decision reached on your application;
- o give you helpful advice, if you are unsuccessful, on revising or resubmitting your application.

### **In assisting you as a grantee, you can expect us to:**

- o provide you with an award document that is clear and easy to understand and that sets forth sensible reporting requirements;
- o provide the names of our staff members who will serve as contacts for your reports and for any assistance you may need;
- o answer promptly and satisfactorily all requests for information on NEH policies and procedures;
- o read and acknowledge promptly your reports on grant activities;
- o maintain a professional, helpful relationship with you as you carry your project to completion.

## THE NATIONAL ENDOWMENT FOR THE HUMANITIES

In order “to promote progress and scholarship in the humanities and the arts in the United States,” Congress enacted the National Foundation on the Arts and the Humanities Act of 1965. This act established the National Endowment for the Humanities as an independent grant-making agency of the federal government to support research, education, and public programs in the humanities.

### The Humanities

The act that established the National Endowment for the Humanities says “The term ‘humanities’ includes, but is not limited to, the study of the following: language, both modern and classical; linguistics; literature; history; jurisprudence; philosophy; archaeology; comparative religion; ethics; the history, criticism, and theory of the arts; those aspects of social sciences which have humanistic content and employ humanistic methods; and the study and application of the humanities to the human environment with particular attention to reflecting our diverse heritage, traditions, and history and to the relevance of the humanities to the current conditions of national life.”

### Organization of the Endowment

Grants are made through four divisions (Education Programs, Preservation and Access, Public Programs, and Research Programs) and two offices (Challenge Grants and the Federal/State Partnership).

### Presidential Directives

The National Endowment for the Humanities participates in three government-wide Presidential Directives. Executive Order 12876 mandates federal efforts to help strengthen and ensure the long term viability of the nation’s Historically Black Colleges and Universities, Executive Order 12900 mandates federal efforts on behalf of educational excellence for Hispanic Americans, and Executive Order 13021 mandates increased accessibility of federal resources for Tribal Colleges. The NEH encourages applications that respond to these Presidential Directives.

## WELCOME TO THE NATIONAL ENDOWMENT FOR THE HUMANITIES

*“Democracy demands wisdom and vision in its citizens” --National Foundation on the Arts and the Humanities Act of 1965*

*The core material of the seminar need not relate directly to the school curriculum; the principal goal of the seminar is to engage teachers in the scholarly enterprise and to expand and deepen their understanding of the humanities through reading, discussion, reflection, and writing.*

## NEH SUMMER SEMINARS AND INSTITUTES

Grants support national summer seminars and institutes in the humanities for college and university teachers and for school teachers. These faculty development activities are conducted at colleges, universities, and other institutions, including research centers, across the country.

### Types of Projects Supported

While program offerings are distinguished by audience (college and university teachers, or school teachers) and by format (seminar or institute), the four models share the following goals. They all strive:

- To promote more effective links between teaching and research in the humanities.
- To extend and deepen knowledge and understanding of the humanities by focusing on significant topics, texts, and issues.
- To enhance the intellectual vitality and professional development of teacher- participants.
- To build a community of inquiry and to provide models of excellent scholarship and teaching.

**A seminar for school teachers** enables fifteen participants to explore a topic or set of readings with a scholar having special interest and expertise in the field. Participants may, for example, reexamine an important text, study the works of a well-known author, or review recent scholarship on a particular historical period or event. The core material of the seminar need not relate directly to the school curriculum; the principal goal of the seminar is to engage teachers in the scholarly enterprise and to expand and deepen their understanding of the humanities through reading, discussion, reflection, and writing.

**An institute for school teachers**, typically taught by a team of faculty and visiting scholars, is designed to present the best available scholarship on important humanities issues and works taught in the nation's schools. The 25 to 35 participating teachers compare and synthesize the various perspectives offered by the faculty, make connections between the institute content and classroom applications, and, usually, develop improved teaching materials.

**A seminar for college and university teachers** enables fifteen participants

with related interests to conduct scholarly research under the direction of an expert in the field. The director designs a program of study that articulates key issues and serves as a focus for discussion in seminar meetings. The director also advises participants on their individual research projects.

**An institute for college and university teachers** focuses on a topic of major importance in the undergraduate curriculum and assembles a team of scholars that, together with the 25 to 35 participants, explores a complex subject from a variety of perspectives. The primary responsibility of participants is synthesis of the scholarship examined in the institute, rather than individual research.

These four models allow for considerable variation. For example, seminars may be codirected, or may include one or more visiting scholars who contribute additional viewpoints. An institute may provide time for individual research, reading, or writing. Such variations should be explained in the proposal, with time and resource allocations fully justified.

The site of a seminar or institute needs to be appropriate to the project, offering good facilities for scholarship and collegial interaction.

The NEH Seminars and Institutes program encourages projects designed to help teachers use advanced technologies for accessing resources and engaging students in active learning.

### **Types of Projects NOT Supported**

The Seminars and Institutes program does not support empirical social scientific research, specific policy studies, or educational or technical impact assessments. In addition, this program does not provide support for work undertaken in the pursuit of an academic degree; the preparation or publication of textbooks; projects that focus on pedagogical theory; research on educational methods, tests, or measurements; or cognitive psychology. Nor does it support projects devoted to advocacy.

### **Size of Awards**

NEH anticipates awards for seminars will range between \$60,000 and \$120,000 in outright funds, and awards for institutes will be from \$100,000 to \$180,000 in outright funds. Although it is understood that the complete cost of a seminar or an institute may be higher, these amounts represent the level of support that can be provided by NEH.

***N**EH anticipates awards for seminars will range between \$60,000 and \$120,000 in outright funds and awards for institutes will be from \$100,000 to \$180,000 in outright funds.*

*Applications are subjected to three general criteria of evaluation: intellectual quality and significance, impact, and feasibility.*

## **Eligibility**

Nonprofit, tax-exempt organizations that are established in the United States, and units of state and local government are eligible to apply for support. To be eligible to receive NEH funding, applicants must have obtained tax-exempt status from the Internal Revenue Service by the time funding decisions are made.

NEH summer seminars and institutes may be proposed by universities, colleges, school systems, learned societies, centers for advanced study, libraries or other repositories, and cultural or professional organizations.

## **Application Review Process**

Each application is assessed first by knowledgeable persons outside the Endowment who are asked for their judgments about the quality and significance of the proposed project. About 650 educators, professionals in the humanities, and other experts serve on approximately 100 panels throughout the course of a year. Panelists represent a diversity of disciplinary, institutional, regional, and cultural backgrounds. Their judgment is sometimes supplemented by individual reviews solicited from specialists who have extensive knowledge of the specific subject or of technical aspects of the application under review.

The advice of evaluators is assembled by the staff of the Endowment, who comment on matters of fact or on significant issues that would otherwise be missing from the review. These materials are then forwarded to the National Council on the Humanities, a board of twenty-six citizens nominated by the President of the United States and confirmed by the Senate. The National Council meets three times each year to advise the Chairman of the Endowment. The Chairman, who is appointed for a four-year term by the President with the consent of the Senate, takes into account the advice provided by this review process and, by law, makes the final decision about funding. A final decision can be expected about six months after the application deadline.

## **Evaluation Criteria**

Applications are subjected to three general criteria of evaluation: intellectual quality and significance, impact, and feasibility.

### **1. Intellectual Quality and Significance**

Is the proposal's intellectual rationale clear and persuasive? Does the study engage important humanities topics or texts? Does it draw on sound and current

humanities research? Do the principal faculty members have strong scholarly records and a demonstrated commitment to excellent teaching?

## **2. Impact**

Will the project's objectives be met? Will participants be actively engaged in collegial intellectual inquiry? Will the experience stimulate teachers intellectually and professionally? Are there provisions to extend the project's impact beyond the period of residential study?

## **3. Feasibility**

Are the project personnel qualified to carry out their proposed responsibilities? Are project activities well planned and described in adequate detail? Do letters from visiting scholars and consultants demonstrate interest and commitment? Does the institutional setting support the project's objectives, both in terms of access to scholarly resources and membership in a residential community? Are the plans for administration sound and well developed? Are the costs of the project reasonable in view of its design and likely results?

Proposals to repeat seminars or institutes previously offered are evaluated by the same criteria as new proposals. Former project directors should document claims of prior success and experience by submitting all participant evaluations, and they should add evidence of growth and fine-tuning where appropriate. If other considerations are equal, the Endowment gives preference to new applicants.

## **Examples**

Guided by a literature scholar, fifteen school teachers gather at a small liberal arts college to read Homer's *Iliad* and Derek Walcott's Nobel Prize-winning epic *Omeros*. Over the five-week period, seminar participants will compare and contrast the two poems, testing the hypothesis that the epic serves as an index to the depth and richness of a culture, as well as to a writer's creative power. Participants will study the principal structural, stylistic, and thematic features of the epic as formalized by Homer and as transformed by Caribbean writer Walcott in his modern poem. Through primary and secondary readings, journal entries, an extensive writing project, and field trips to nearby museums and libraries, participants will consider the cultural significance of the epic, as well as explore the textual connections between the poems as a case study of literary influences.

Twenty-five school teachers gather at a university in Pittsburgh, Pennsylvania, for a four-week institute to study the history of technology in the United

**P**roposals to repeat seminars or institutes previously offered are evaluated by the same criteria as new proposals.

States. The director of the institute, supported each week by a succession of four visiting faculty members, conducts sessions on Native American practices, the technologies of the pre-industrial period, the technical and social changes of the Industrial Revolution, and society and technology in the “post-Industrial” period. The teachers attend daily lecture and discussion sessions, take part in field trips to local sites related to the history of technology, and maintain a journal of reflections on their readings, discussions, and individual research. They also prepare curricular units on the history of technology for the institute’s website and receive instruction in using Internet resources in their classroom.

A professor of political science and fifteen school teachers read and discuss documents, newspaper accounts, and texts central to the development of South African nationalism. For five weeks on the campus of a liberal arts college, teachers from a variety of school environments track the evolution of nationalist thought in writings by and about the thinkers and political leaders who forged a common national identity out of the experience of white domination. They follow debates from the early twentieth century up to the recent transition to democracy, seeking to understand how a movement dedicated to fighting racism in a diverse racial and ethnic context ended up embracing “non-racial” democracy. Readings include selections from Albert Luthuli’s *Let My People Go*, Steven Biko, the creator of “black consciousness,” Nelson Mandela, and Oliver Tambo. This seminar on South Africa provides a stimulating comparison with the history of civil rights in the United States.

A professor of literature and American studies at a research university offers a seminar for fifteen college and university teachers on artistic creation and morality, focusing on the relationship between ethics and aesthetics in works by important American novelists, filmmakers, and photographers. Among the works considered are Henry James’s *The Golden Bowl*, D. W. Griffith’s *Birth of a Nation*, and Vladimir Nabokov’s *Lolita*. In addition to studying the works themselves, the participants read relevant writings by literary theorists and moral philosophers to further elucidate the aesthetic and ethical issues involved. Another goal of the seminar is to place the moral concerns raised by the works in the context of their times. In addition to common seminar meetings and discussions, the participants work on individual research projects related to the seminar topic and present them to the group for discussion. The intellectual exchanges begun during the seminar are continued after the summer session is over by means of an electronic discussion list and website.

Twenty-five participants, primarily historians, spend five weeks at a California university examining the field of world history from the standpoint of environmental studies. The institute illustrates that our understanding of how

the modern world came into being has begun to shift in response to an emerging framework of environmental history. The institute covers five centuries of history from 1500 to the present and is led each week by a scholar who has recently contributed to this literature. Scholars present case studies on Latin America, the Middle East, Asia, as well as Western Europe and North America. They involve issues such as the impact of silver from the Americas on economic exchanges between Europe and Asia. Aided by institute co-directors, participants discuss the implications for teaching and work on their own areas of interest. A listserv is used to collect successful teaching strategies developed by participants and to continue the sharing of resources and scholarship.

Twenty-five college teachers of Spanish and comparative literature join for a six-week institute on nineteenth-century Spanish realism, focusing on the novel *La Regenta*, by Leopoldo Alas (Clarín). They will explore the relationship between this work and those of other Spanish authors such as Galdos, author of a series of historical novels, and whose novel *Fortunata y Jacinta* was seen as an inspiration for Clarín. They will also employ *La Regenta* to analyze the relations between various aspects of fictional form and the impress of political, social, and scientific ideas. For example, participants will explore the literary uses of contemporary theories of psychology and will gauge the author's response to social and cultural change at the end of the nineteenth century in Spain. A workshop halfway through the institute will engage visiting specialists and participants in comparative study, situating *La Regenta* in the context of the European realist novel from Stendhal to Tolstoy.

## GRANTEE RESPONSIBILITIES

Before any work is done in developing a proposal, the project director and the authorizing official of the applicant institution should review the following section on grantee responsibilities to determine if their institution is able to comply with these requirements. **The authorizing official is also advised to review the material on certifications in the appendix to this brochure before signing Block 11 of the application cover sheet.**

The grantee organization is required to

- o have a sound financial management system that records separately within its general accounting system the receipt and disbursement of grant funds and cost sharing contributions and that monitors the expenditure of these funds against the approved budget;
- o carry out project activities in accordance with the workplan provided in the approved application—changes in key project personnel, project scope or design, or in the arrangements to contract out project activities must be submitted to NEH in advance for review and approval;
- o have in place a written organizational prior approval system for prior review and approval of all grant actions and expenditures that the grantee institution is delegated authority to approve;
- o maintain adequate documentation of the time spent by all project personnel on grant activities;
- o have an audit performed that meets the requirements of Office of Management and Budget Circular A-133 whenever \$300,000 or more in federal funds is expended during a fiscal year;
- o ensure that all procurement transactions are conducted in a manner that provides, to the maximum extent practical, open and free competition and that for purchases in excess of \$100,000 any use of sole-source contracts is fully justified and documented;
- o return to NEH a portion of the income earned on services and products resulting from grant activities when this is required by the terms and conditions of an award; and
- o acknowledge NEH support in all materials publicizing or resulting from grant activities.

## APPLICATION INFORMATION

### What Help Is Available?

After reading these guidelines, prospective applicants should contact the NEH Seminars and Institutes group and consult a program officer (at 202/606-8463 or sem-inst@neh.gov). Program officers can comment on matters of substance, share with prospective applicants the narratives of previously successful proposals, discuss the distinguishing features of seminars and institutes, and respond to questions about project budgets.

Once a proposal is submitted, program staff cannot discuss its status until the Endowment's review process has been completed and the results announced. Receipt of applications submitted will be acknowledged in writing and a formal notification letter will be sent once funding decisions have been made.

### Instructions for Preparing a Proposal

Seminar and institute applications vary in length and complexity. In all cases, however, a complete application consists of **five parts**: a completed and signed NEH Application Cover Sheet, a table of contents, a detailed narrative describing the proposed project, a project budget, and appendices of supporting materials.

In preparing an application, these general directions should be followed:

- o type (double space) the application on 8 1/2" x 11" paper and number all pages. **Proposal narratives should not exceed fifteen pages in length.**
- o create margins and select a type face and size that allow reviewers to read the application easily;
- o label the appendices and refer to them clearly in the narrative.

#### 1. Application Cover Sheet

The required form and instructions for its completion are on pages xxxx.

#### 2. Table of Contents

The table of contents should list all parts of the application including any appendices.

*Applications for both seminars and institutes should, when appropriate, include information on how participants will be chosen. Fair review of applications requires that a selection committee be appointed.*

### **3. Narrative Description**

The narrative description receives close scrutiny throughout the review process. To be competitive, proposals should address the following matters:

#### **Intellectual Rationale**

Describe what will be studied and why. Place the project in its scholarly and educational context and identify the intended beneficiaries. The intellectual rationale must justify in a clear and persuasive manner the specific readings and topics set forth in the study plan.

#### **Content of the Project**

Describe how the project will be structured and what will be expected of the participants. Include assigned and recommended readings, presentation and discussion topics, and a detailed schedule. Describe any writing or research components, as well as any other independent projects.

#### **Project Faculty and Staff**

Summer seminar applications, in particular, should discuss the relationship between the seminar topic and the director's own interests and accomplishments as a scholar and teacher. The use of codirectors and any guest speakers should be justified. Seminar directors should provide full résumés.

Institute applications should identify, as appropriate, principal faculty, visiting lecturers, master teachers, and support staff and describe their roles, responsibilities, and qualifications. Enumeration of personnel should be supported in an appendix by up-to-date letters of commitment and brief (2-page) résumés. The persons who bear intellectual responsibility for the institute should submit full résumés.

Applications for both seminars and institutes should, when appropriate, include information on how participants will be chosen. Fair review of applications requires that a selection committee be appointed. Although NEH staff will provide general eligibility and selection criteria including guidelines for a standard essay, applicants should indicate any special criteria pertinent to the proposed project.

#### **Institutional Context**

Demonstrate that the mission and resources of the host institution support the proposed project. Discuss suitability of housing and supporting facilities as well as academic resources and technological capabilities.

### Dissemination and Evaluation

Describe how the collegial scholarly exchanges that begin in a seminar or institute will be continued. Electronic technology may be used to maintain and extend a community of inquiry and to disseminate project materials.

Endowment staff distribute evaluation forms to all seminar and institute participants, to be completed and returned directly to NEH after the residential study period. Once they have been received by NEH, anonymous participant reports are shared with project directors.

### 4. The Project Budget

See budget instructions on page 19. The required form and instructions for its completion begin on page 24.

### 5. Appendices

Use appendices to provide **essential** materials, such as expanded study plans, detailed reading lists, résumés, and letters of commitment. Unless otherwise specified, please use brief (2-page) résumés.

New seminar directors should solicit **two reference letters**. These letters of recommendation should be mailed directly to the Endowment within one week of the March 1 application deadline. Names of referees, their titles and addresses, should be attached to the application narrative. To document prior success, former project directors should provide copies of **all evaluations** of their most recently offered seminar or institute. They should add evidence of growth and fine tuning where appropriate.

Pages of appendices should be numbered, and the proposal narrative should refer to items included in the appendices.

### Checklist of Application Materials

Please provide the original plus ten copies of:

- ( ) The signed application cover sheet
- ( ) Table of contents
- ( ) Narrative description
- ( ) Project budget
- ( ) Appendices of supporting material

New seminar directors should have two letters of recommendation submitted directly to NEH by their referees.

*New seminar directors should solicit two reference letters. These letters of recommendation should be mailed directly to the Endowment within one week of the March 1 application deadline.*

*The Office of Management and Budget requires federal agencies to supply information on the time needed to complete forms and also to invite comments on the paperwork burden. NEH estimates the average time to complete this application is fifty-six hours per response. This estimate includes time for reviewing instructions, researching, gathering, and maintaining the information needed; and completing and reviewing the application. Please send any comments regarding the estimated completion time or any other aspect of this application, including suggestions for reducing the time to complete, to the Director of the Office of Publications, National Endowment for the Humanities, Washington, D.C. 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3136-0134), Washington, D.C. 20503. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB number.*

## APPLICATION COVER SHEET INSTRUCTIONS

### Block 1. Project Director:

**Item a.** While the application is submitted through an institution or organization, the name and mailing address of the person who will carry out the project or be chiefly responsible for directing it should be entered here. Applicants should give an address where they will pick up mail regularly during the application review cycle. Note: Inform the Seminars and Institutes program of any change of address that occurs between the time the application is submitted and the following September.

**Item b.** In the space provided, enter the number corresponding to the project director's preferred form of address:

1-Mr.	3-Miss	5-Professor
2-Mrs.	4-Ms.	6-Dr.

**Item c.** Enter the project director's full telephone number with area code and extension. Whenever possible, one of the telephone numbers listed should be a number at which a message can be left. Enter FAX number and e-mail address if applicable.

### Block 2. Type of Applicant: Prechecked.

Items 2c and 2d. Identify the type of institution or organization, for example, university, research library, etc. Identify status as private nonprofit or unit of state or local government.

### Block 3. Type of Application: Prechecked.

### Block 4. Type of Project: Check the type of seminar or institute proposed.

### Block 5. Requested Grant Period: Check appropriate line and fill in appropriate years.

### Block 6. Project Funding: Enter here the total amount of the award you are requesting from NEH.

### Block 7. Field of Project: Indicate the category and code from the listing on the reverse side of the cover sheet to indicate the specific humanities field that best describes the content of the project.

### Block 8. Descriptive Title of Project: Enter a brief title that clearly identifies the project and its humanities content. This title should be informative to a nonspecialist. NEH is obliged to be as clear as possible to the public about awards that

it makes. The “descriptive title” will be used for this purpose whenever possible, but Endowment staff may assign a different working title to the project.

**Block 9. Description of Project:** Provide a brief description of the proposed project, not to exceed 150 words. It should emphasize the topic and/or texts to be covered and the general approach to be followed. Particular care should be given to the brief description because it will be the basis for Endowment publicity. Applications to direct institutes should specify the number of participants. Please do not continue the description on a second page.

**Block 10. Institutional Data:**

**Item a.** Indicate the name of the institution and the city and state of its official mailing address.

**Item b.** Enter the institution’s employer identification number.

**Item c.** Indicate the name and title of the person who is authorized to submit the application on behalf of the institution or organization and to provide the certifications required in Block 11.

**Item d.** Indicate the name, mailing address, form of address (see instructions for Block 1b), and telephone number of the person who will be responsible for the financial administration of the grant and for monitoring grant activity if an award is made. For example, at many universities the provost, vice president, president, or chancellor is the person “authorized” to submit an application (see item c), but the actual administration of the project--such as, negotiating the project budget, ensuring compliance with the terms and conditions of the award--is the responsibility of a grants or research officer. The latter person should be listed here.

**Block 11. Certification:** The authorizing official, not the project director, should sign here. The Endowment is required by government-wide regulations to obtain from all applicants certifications regarding federal debt status, debarment and suspension, and a drug-free workplace. Institutional applicants are required to certify that they will comply with the nondiscrimination statutes. When an applicant requests more than \$100,000 in grant funds, it must also certify that no federal funds have or will be paid to any person to influence the funding decision for the specific proposal that is being submitted for consideration. In the unlikely event that an NEH applicant has used or plans to use nonfederal funds for this purpose, it must request, complete, and submit a standard disclosure form. These certifications, which appear in the Appendix to the guidelines, should be read before Block 11 of the application cover sheet is signed. Additional information on these certifications is available from the NEH website <http://www.neh.gov> or from the NEH Grants Office, Room 311, Washington, D.C. 20506, 202/606-8494.

*Privacy Act. This information is solicited under the authority of the National Foundation on the Arts and Humanities Act of 1965, as amended, 20 U.S.C. 956. The principal purpose for which the information will be used is to process the grant application. The information may also be used for statistical research, analysis of trends, and Congressional oversight. Failure to provide the information may result in the delay or rejection of the application.*

**Block 12. Length of Seminar or Institute:** Indicate the proposed length of your seminar or institute and the actual dates, beginning on a Monday and ending on a Friday. The duration of the project may be four, five, or six weeks at the discretion of the director. Because of college schedules, seminars or institutes for college or university faculty should begin in early June (or later) and end no later than mid-August. Because of school schedules, seminars and institutes for school teachers should begin no earlier than late June and end no later than mid-August. Other proposed dates should be discussed with program staff. Ensure that dormitory or other housing space is available during the period chosen.

**1 Individual applicant or project director**

a. Name and mailing address:

(last) (first) (initial)

(street)

(city) (state) (ZIP code)

b. Form of address:

c. Telephone numbers

Office: / Home: /  
(area code) (area code)

FAX: / E-Mail:  
(area code)

d. Major field of applicant or project director: (code)

e. Citizenship: ☐ U.S.  
☐ Other: (country)

**2 Type of applicant**

a. ☐ by an individual b. ☒ through an organ./institution  
If a, indicate an institutional affiliation, if applicable, on line 11a.  
If b, complete block 11 below and indicate here:

c. Type d. Status

**3 Type of application**

a. ☒ new b. ☐ supplement  
If b, indicate previous grant number

**4 Type of Project**

\_\_\_ Summer Institute for College and University Teachers  
\_\_\_ Summer Seminar for College and University Teachers  
\_\_\_ Summer Institute for School Teachers  
\_\_\_ Summer Seminar for School Teachers

**5 Requested grant period**

\_\_\_ Seminars (12 mos.): 10/1/\_\_\_ to 9/30/\_\_\_  
\_\_\_ Institutes (15 mos.): 10/1/\_\_\_ to 12/31/\_\_\_

**6 Project Funding**

\$ \_\_\_\_\_

**7 Field of project**

(code)

**8 Descriptive title of project**

**9 Description of project (do not exceed space provided)**

**10 Will this proposal be submitted to another government agency or private entity for funding? (If yes, indicate where and when):**  
not applicable

**11 Institutional data**

a. Institution or organization:

(name)

(city) (state) (ZIP Code)

b. Employer identification number:

c. Name of authorizing official:

(last) (first) (initial)

(title)

d. Name and mailing address of institutional grant administrator:

(last) (first) (initial)

(city) (state) (ZIP code)

Telephone: / Form of address:  
(area code)

FAX: / E-Mail:  
(area code)

**12 Certification.** By signing and submitting this application, the individual or the authorizing official of the applicant institution (block 11c) is providing the applicable certifications regarding the nondiscrimination statutes and implementing regulations, federal debt status, debarment and suspension, a drug-free workplace, and lobbying activities as set forth in the appendix to these guidelines.

(printed name)

(signature)

(date)

NOTE: Federal law provides criminal penalties of up to \$10,000 or imprisonment of up to five years, or both for knowingly providing false information to an agency of the U.S. government. 18 U.S.C. Section 1001.

**13 Institute/Seminar Length**

Dates: from \_\_\_\_\_ to \_\_\_\_\_

☐ 4-week ☐ 5-week ☐ 6-week

**For NEH use only** Date received Application # Initials

## Field of Project Categories and Codes

The following categories and codes should be used to complete block 7 of the NEH Application Cover Sheet. If no exactly appropriate category is provided, please select the larger category that would include the more precise one. (This listing is strictly for use by the NEH staff to help retrieve information about applications and grants by subject matter. The listing is not comprehensive and is not meant to define the disciplines of the humanities. For that definition and advice about eligibility for Endowment awards, please consult elsewhere in these application materials. The hierarchical arrangement is for convenience.)

<b>Anthropology</b>	<b>L1</b>	<b>Languages</b>	<b>C1</b>
Archaeology	<b>U6</b>	Ancient	<b>CC</b>
<b>Archival Manage- ment/ Conservation</b>	<b>I1</b>	Asian	<b>CA</b>
<b>Arts/History and Criticism</b>	<b>MA</b>	Classical	<b>C2</b>
Architecture: History & Criticism	<b>U3</b>	Comparative	<b>C9</b>
Art: History & Criticism	<b>M1</b>	English	<b>CE</b>
Dance: History & Criticism	<b>M3</b>	French	<b>C3</b>
Film: History & Criticism	<b>M4</b>	German	<b>C4</b>
Music: History & Criticism	<b>M5</b>	Italian	<b>C5</b>
Theater: History & Criticism	<b>M2</b>	Latin American	<b>C6</b>
<b>Communications</b>	<b>P2</b>	Near Eastern	<b>CB</b>
Composition & Rhetoric	<b>P1</b>	Slavic	<b>C7</b>
Journalism	<b>P4</b>	Spanish	<b>C8</b>
Media	<b>P3</b>	<b>Law/Jurisprudence</b>	<b>Q1</b>
<b>Education</b>	<b>H1</b>	<b>Library Science</b>	<b>H3</b>
<b>Ethnic Studies</b>	<b>K1</b>	<b>Linguistics</b>	<b>J1</b>
Asian American	<b>K5</b>	<b>Literature</b>	<b>D1</b>
Black/African-American	<b>K4</b>	African	<b>DK</b>
Hispanic American	<b>K3</b>	American	<b>DE</b>
Jewish	<b>K6</b>	Ancient	<b>DC</b>
Native American	<b>K2</b>	Asian	<b>DA</b>
<b>History</b>	<b>A1</b>	British	<b>DD</b>
African	<b>A2</b>	Classical	<b>D2</b>
American	<b>A3</b>	Comparative	<b>D9</b>
Ancient	<b>AC</b>	French	<b>D3</b>
British	<b>A4</b>	German	<b>D4</b>
Classical	<b>A5</b>	Italian	<b>D5</b>
European	<b>A6</b>	Latin American	<b>D6</b>
Far Eastern	<b>A7</b>	Literary Criticism	<b>DI</b>
Latin American	<b>A8</b>	Near Eastern	<b>DB</b>
Near Eastern	<b>A9</b>	Slavic	<b>D7</b>
Russian	<b>AA</b>	Spanish	<b>D8</b>
South Asian	<b>AB</b>	<b>Museum Studies/Historic Preservation</b>	<b>I2</b>
<b>Humanities</b>	<b>U8</b>	<b>Philosophy</b>	<b>B1</b>
<b>Interdisciplinary</b>	<b>U1</b>	Aesthetics	<b>B2</b>
African Studies	<b>G1</b>	Epistemology	<b>B3</b>
American Studies	<b>G3</b>	Ethics	<b>B4</b>
Area Studies	<b>GH</b>	History of Philosophy	<b>B5</b>
Asian Studies	<b>G5</b>	Logic	<b>B6</b>
Classics	<b>G7</b>	Metaphysics	<b>B7</b>
Folklore/Folklife	<b>R1</b>	Non-Western Philosophy	<b>B8</b>
History/Philosophy of Science, Technology, or Medicine	<b>GA</b>	<b>Religion</b>	<b>E1</b>
International Studies	<b>GG</b>	Comparative Religion	<b>E5</b>
Labor Studies	<b>G4</b>	History of Religion	<b>E2</b>
Latin American Studies	<b>GJ</b>	Non-Western Religion	<b>E4</b>
Medieval Studies	<b>G8</b>	Philosophy of Religion	<b>E3</b>
Regional Studies	<b>GF</b>	<b>Social Science</b>	<b>U2</b>
Renaissance Studies	<b>G9</b>	American Government	<b>F2</b>
Rural Studies	<b>GC</b>	Economics	<b>N1</b>
Urban Studies	<b>G2</b>	Geography	<b>U7</b>
Western Civilization	<b>GB</b>	International Relations	<b>F3</b>
Women's Studies	<b>G1</b>	Political Science	<b>F1</b>
		Psychology	<b>U5</b>
		Public Administration	<b>F4</b>
		Sociology	<b>S1</b>

## BUDGET INFORMATION AND INSTRUCTIONS

All of the items listed must be reasonable, necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period. Charges to the project for items such as salaries, fringe benefits, travel, and contractual services must conform to the written policies and established practices of the applicant organization. When indirect costs are charged to the project, care should be taken that expenses included in the organization's indirect cost pool (see Indirect Costs, page 21) are not charged to the project as direct costs.

### A. Participant Stipends:

Each participant will receive a stipend according to the duration of the seminar or institute, whether four (\$2,800), five (\$3,250), or six (\$3,700) weeks. The stipend is intended to help cover travel expenses to and from the project location, books and other research expenses, and living expenses for the duration of the period of residency. The sponsoring institution is expected to make provision for suitable housing for participants at reasonable rates.

### B. Operating Costs:

*Item 1a:* Project directors are generally compensated for the time required to conduct the residential portion of the project during the summer and for the time required to oversee all arrangements and to recruit and select the participants. The following percentages of the base annual academic salary (the salary for the academic year prior to the summer of the seminar or institute) are recommended as appropriate compensation: 22.2% for a six-week session, 19.4% for a five-week session, and 16.6% for a four-week session. Codirectors would each receive 70% of these amounts.

Compensation may be greater if an institute requires explicit and extensive dissemination activities or smaller if many project tasks are to be carried out by an administrative assistant or project coordinator or by a codirector. Justification for requests for compensation beyond the recommended level or for an unusually long or complex project must be provided in a budget narrative.

Seminar directors and codirectors should assume no other commitments during the time the participants are in residence. Institute directors who are not also principal faculty should calculate their compensation in a manner consistent with their restricted institute duties.

*Each participant will receive a stipend according to the duration of the seminar or institute, whether four (\$2,800), five (\$3,250), or six (\$3,700) weeks. The stipend is intended to help cover travel expenses to and from the project location, basic books and other research expenses, and living expenses for the duration of the period of residency.*

*If a grant is awarded, project directors and their host institutions should prepare in consultation with NEH staff a “Dear Colleague” letter with detailed information about the project for persons inquiring about the seminar or institute.*

*Item 1b:* List other project faculty or lecturers or professional administrative staff who are employed by the applicant institution. Depending on their assignments and duties, their compensation may be calculated on the basis of an appropriate percentage of their full-time academic year or administrative salary or on a per diem basis. Costs charged to the project budget should be justified by the role and duties to be performed.

*Item 1c:* List clerical and secretarial support as well as any support to be provided by graduate assistants.

*Item 2: Fringe Benefits* — Fringe benefits should be calculated for those individuals employed by the applicant institution and listed on lines 1 a, b, or c. Fringe benefits may include contributions for Social Security, employee insurance, pension plans, etc. Only those benefits that are not included in an organization’s indirect cost pool may be shown as direct costs. Also, fringe benefits for clerical, administrative, and part-time personnel may be calculated at different rates than for employees on academic year appointments. This should be reflected in the breakdown shown on the budget form.

*Item 3: Supplies and Materials* — A request may be made to cover reasonable administrative and project charges for consumable supplies (computer diskettes, instructional materials, educational software, etc.) and expendable equipment (i.e., equipment items costing less than \$5,000 and with an estimated useful life of less than one year). Please note that these costs may be included only if they are not part of the indirect cost pool.

*Item 4: Services* — Includes the cost of duplication and printing, long-distance telephone charges and postage, rental of films and equipment, and subcontracts of any kind. All must be essential to the project. (See the section on page 22 for inadmissible budget items.) These requests should be justified in the budget narrative and normally should be modest. Include an itemization of subcontract costs.

*Note.* If a grant is awarded, project directors and their host institutions should prepare in consultation with NEH staff a “Dear Colleague” letter with detailed information about the project for persons inquiring about the seminar or institute. The Endowment will also post the offerings on the NEH website. In addition, the Endowment will prepare and supply directors with participant application materials for duplication and distribution. Hence, the budget needs to include costs for duplicating and mailing these materials.

*Item 5: Consultant Fees* — List those individuals who would contribute to the project as visiting lecturers, leaders of study sessions, and master teachers

but are not employed by the applicant institution. The honoraria for visiting faculty and other consultants must be no higher than \$350 per person per day. This figure represents the top of the scale and should be offered only to senior scholars. Travel and subsistence reimbursement for consultants should be entered below on line 6.

*Note:* Applicants should budget a total of \$300 for two \$150 honoraria to compensate those people otherwise unconnected with the project who will assist in reading applications and selecting participants. If one selection committee member is employed by the applicant institution, and one not, then request \$150 here and \$150 on line 1b.

*Item 6: Professional Travel and Subsistence* — Participant travel is covered by the stipend awarded to each participant. List here travel and accommodation expenses for visiting consultants listed in Item 5 and the costs likely to be incurred by the project director(s) who would be invited to attend an annual 2-day project directors' meeting held in Washington, DC. Project director(s) travel and appropriate expenses to and from a seminar or institute away from the director's home institution are allowed.

Travel Costs should be calculated in conformity with the applicant institution's policy.

*Item 7: Total Direct Costs* are calculated by adding items 1 through 6.

### **C. Indirect Costs (Overhead):**

These are costs that are incurred for common or joint objectives and therefore cannot be readily identified with a specific project or activity of an organization. Typical examples of indirect cost items are the salaries of executive officers, the costs of operating and maintaining facilities, local telephone service, office supplies, and accounting and legal services.

Indirect costs are computed by applying a negotiated indirect cost rate to a distribution base (typically a portion of the direct costs of the project). Organizations that wish to include overhead charges in the budget but do not have a current federally negotiated indirect cost rate or have not submitted a pending indirect cost proposal to a federal agency may choose one of the following options:

1. The NEH will not require the formal negotiation of an indirect cost rate, provided the charge for indirect costs does not exceed 10 percent of direct costs, less distorting items (e.g., capital expenditures, participant stipends, major

*Indirect costs are costs that are incurred for common or joint objectives and therefore cannot be readily identified with a specific project or activity of an organization. Typical examples of indirect cost items are the salaries of executive officers, the costs of operating and maintaining facilities, local telephone service, office supplies, and accounting and legal services.*

subcontracts), up to a maximum total project charge of \$5,000 per year. (Applicants who choose this option should understand that they must maintain documentation to support overhead charges claimed as part of project costs.)

2. If your organization wishes to use a rate higher than 10 percent or claim more than \$5,000 in indirect costs per year, an estimate of the indirect cost rate and the charges should be provided on the budget form. If the application is approved for funding, you will be instructed to contact the NEH Office of Inspector General to develop an indirect cost proposal.

#### **D. Amount Requested from NEH:**

Amount requested includes items A, B, and C.

#### **Budget Narrative**

A brief budget narrative may be included when requested costs are unusual or not obviously related to the proposed project. Clarification of requested compensation levels may be useful here. If released time from teaching duties is proposed, indicate clearly how it will be used. Justifications for equipment rentals and purchases should be provided here.

#### **Inadmissible Budget Items**

The following costs are not allowable and may not appear in project budgets:

The cost of replacement teachers or compensation for faculty members performing their regular duties.

The rental of recreational facilities and costs related to social events such as banquets, receptions, and entertainment.

Tuition fees for participants. Credit may be awarded to participants seeking it at the discretion of the applicant institution. If any filing fee or tuition must be charged, it should be charged directly to those participants wishing to receive credit and should be fixed at the lowest possible rate. Such fees should *not* be deducted from the participants' stipends.

## SAMPLE BUDGET: SUMMER SEMINAR

A.	Participant Stipends	
	5 week seminar, 15 participants	<u>\$48,750</u>
B.	Direct Costs	
1.	Salaries and Wages	
a.	Project Director	
	(19.4% of academic year salary \$65,000)	<u>\$12,610</u>
b.	Faculty, Lecturers, and Other Project Staff	
	1 Selection Committee Stipend	<u>\$ 150</u>
c.	Secretarial support and Graduate Assistants	
	Secretary: 2-1/2 months x 33% of \$26,000	<u>\$ 1,787</u>
2.	Fringe Benefits	
	24% of \$12,760 (director and slection committee) = \$3,062	
	19 % of \$1,822 (secretary) = \$ 340	
		<u>\$ 3,402</u>
3.	Supplies and Materials (Consumables)	
	Misc: \$35 x 15 participants	<u>\$ 525</u>
4.	Services	
	postage: 500 x .33 = \$165	
	telephone: 3 months x 120 = \$360	
	duplicating: 1500 x .05 = \$75	<u>\$ 600</u>
5.	Consultant Fees and Honoraria	
	1 Selection Committee Stipend	<u>\$ 150</u>
6.	Professional Travel and Subsistence	
	2-day Project Directors Meeting	
	airfare: \$375	
	per diem: \$270	<u>\$ 645</u>
7.	TOTAL DIRECT COSTS	<u>\$19,869</u>
C.	Indirect Costs: calculated on Itembs B1-6 only	
	(28% of \$19,869)	<u>\$ 5,563</u>
D.	TOTAL PROJECT COSTS (add A, B, & C)	<u>\$74,182</u>

## SAMPLE BUDGET: SUMMER INSTITUTE

A.	Participant Stipends		
	4 week institute; 30 participants @\$2,800		<u>\$84,000</u>
B.	Direct Costs		
1.	Salaries and Wages		
a.	Project Director		
	(16.6% of academic year salary \$55,000)	<u>\$ 9,130</u>	
b.	Faculty, Lecturers, and Other Project Staff		
	2 full time Faculty (11.1% of \$45,000)	<u>\$ 9,990</u>	
c.	Secretarial support and Graduate Assistants		
	Secretary: 5 months x 30% of \$24,000 = \$3,000		
	Graduate Asst: \$9/hr x 20 hrs/week x 5 weeks = \$ 900		
		<u>\$ 3,900</u>	
2.	Fringe Benefits		
	21% of \$22,120 = \$4,645		
	14 % of \$900 = \$ 126	<u>\$ 4,771</u>	
3.	Supplies and Materials (Consumables)		
	Miscellaneous office supplies = \$ 150		
	Materials (31 sets x \$60) = \$1,860	<u>\$ 2,010</u>	
4.	Services		
	postage: 3,000 x .33 = \$990		
	telephone: 5 months x 150 = \$750		
	duplicating: 150pp. x .05 x 30 part. = \$225	<u>\$ 1,965</u>	
5.	Consultant Fees and Honoraria		
	4 guest lecturers x 2 days x \$250 = \$2,000		
	1 master teacher x 4 days x \$250/day = \$1,000	<u>\$ 3,000</u>	
6.	Professional Travel and Subsistence		
	2-day Project Directors Meeting (Director)		
	airfare: \$375; per diem: \$270 = \$645		
	Guest lecturers:		
	4 airfares @ \$800 = \$3,200		
	8 per diems @ \$120 = \$ 960	<u>\$ 4,805</u>	
7.	TOTAL DIRECT COSTS		<u>\$39,571</u>
C.	Indirect Costs: calculated on Items B1-6 only		
	(28% of \$39,571)		<u>\$ 8,200</u>
D.	TOTAL PROJECT COSTS (add A, B, & C)		<u>\$135,771</u>

# NEH SUMMER SEMINARS AND INSTITUTES

## BUDGET PAGE

Applicant Institution

Project Director

Project Title

Project Grant Period:

☐ **Seminar** (12 mos.):                      October 1, \_\_\_\_\_ -      September 30, \_\_\_\_\_

☐ **Institute** (15 mos.):                      October 1, \_\_\_\_\_ -      December 31, \_\_\_\_\_

**A. Participant Stipends**

4 weeks: \_\_ participants X \$2,800 =

5 weeks: \_\_ participants X \$3,250 =

6 weeks: \_\_ participants X \$3,700 =

\$\_\_\_\_\_

**B. Operating Costs**

## 1. Salaries and Wages

## a. Project Director

(\_\_\_\_\_ % of academic year salary \$\_\_\_\_\_)

\$\_\_\_\_\_

## b. Faculty, Lecturers, and Other Project Staff from applicant institution.

List here names and titles/method of cost computation

\$\_\_\_\_\_

## c. Secretarial support and Graduate Assistants (Unless part of Indirect Cost pool).

List here names and titles/method of cost computation.

\$\_\_\_\_\_

## 2. Fringe Benefits

\_\_\_\_\_ % of \$\_\_\_\_\_ for professional personnel

\_\_\_\_\_ % of \$\_\_\_\_\_ for other staff, if applicable

\$\_\_\_\_\_

## 3. Supplies and Materials (Consumables)

Office supplies, instructional materials, etc.

List here item/basis/method of cost computation

\$\_\_\_\_\_

## 4. Services

Duplication, printing, telephone, postage, subcontracts,

etc. not included in the indirect cost pool

List here the items/cost basis

\$\_\_\_\_\_

5. Consultant Fees and Honoraria  
Faculty and staff not employed by the applicant institution  
List here the name or type of consultant/# of days/daily rate \$\_\_\_\_\_
6. Professional Travel and Subsistence \$\_\_\_\_\_
7. Total of item B only (1 through 6) \$\_\_\_\_\_

**C. Indirect Costs**

If indirect costs are to be charged to the project, **CHECK THE APPROPRIATE BOX BELOW** and provide the information requested. Refer to the budget instructions for explanations of these options.

- ☐ Current indirect cost rate(s) has/have been negotiated with federal agency. (Complete items 1 and 2)
- ☐ Indirect cost proposal has been submitted to a federal agency but not yet negotiated. (Indicate the name of the agency in item 1 and show proposed rate(s) and base(s), and the amount(s) of indirect costs in item 2.)
- ☐ Indirect cost proposal will be sent to NEH if application is funded. Provide an estimate in item 2 of the rate that will be used and indicate the base against which it will be charged and the amount of indirect costs.)
- ☐ Applicant chooses to use a rate not to exceed 10% of direct costs, less distorting items, up to a maximum charge of \$5,000 per year. (Under item 2, enter the proposed rate, the base against which the rate will be charged, and the computation of indirect costs or \$5,000, whichever sum is less.)

1. \_\_\_\_\_  
name of federal agency date of agreement

2. rate(s) base(s)  
\_\_\_\_\_ % of \$ \_\_\_\_\_ \$\_\_\_\_\_

TOTAL INDIRECT COSTS \$\_\_\_\_\_

D. AMOUNT REQUESTED FROM NEH (add A, B, & C) \$\_\_\_\_\_

Institutional Grant Administrator. Provide the information requested below when a **revised** budget is submitted. The signature of this person indicates approval of the budget submission.

Name and Title (please type or print)

\_\_\_\_\_

Telephone \_\_\_\_\_

Date \_\_\_\_\_

Signature \_\_\_\_\_

## APPENDIX

### Certification Instructions

**Certifications.** In submitting an application to NEH, all applicants are required to certify (by signing Block 11 of the application cover sheet) that they are not presently debarred, suspended, declared ineligible, or voluntarily excluded from participating in federally funded programs; are not currently delinquent in the payment of a federal debt; and, if the project is funded by NEH, will have a drug-free workplace program in place within thirty (30) days of the issuance of an award. Institutional applicants must further certify that they are in compliance with the nondiscrimination statutes and NEH's implementing regulations.

These certifications are material representations of fact upon which the Endowment will rely in making funding decisions. If it is later determined that the applicant knowingly provided an erroneous certification or did not comply with the requirements, the Endowment may seek judicial enforcement of the certification or may suspend or terminate the award.

Applicants who cannot certify regarding compliance with the nondiscrimination statutes, the establishment of a drug-free workplace program, or the prohibition on lobbying are **not** eligible to apply for funding from NEH. Although applicants who are unable to certify regarding federal debt status or debarment and suspension are technically eligible to submit an application to NEH as long as they provide a written explanation of their status, they are advised to discuss their particular situation with program staff before beginning work on their proposal.

Applicants who plan to use awards to fund **subgrants, contracts, and subcontracts** should be aware that they must receive the following certifications from applicants to grant programs and those who bid on contracts:

- (1) certification of compliance with the nondiscrimination statutes from **institutional** applicants and contractors, and
- (2) certification regarding lobbying from those requesting in excess of \$100,000 in grant funds, and
- (3) certification regarding debarment and suspension from applicants to grant programs (regardless of the amount requested) and from potential contractors and subcontractors who will receive \$100,000 or more in grant funds. Applicants are also required **to include without modification** the following wording in solicitations for all **grant** proposals and for contracts that are expected to equal or exceed \$100,000:
  - (a) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
  - (b) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Additional information on the certification requirements is available on the NEH World Wide Web site, <http://www.neh.gov>, or from the NEH Grants Office, Room 311, Washington, D.C. 20506 (202/606-8494).

The text of the certifications follows:

**1. Certification Regarding the Nondiscrimination Statutes and Implementing Regulations (Applies to Recipients Other than Individuals).** The applicant certifies that it will comply with the following nondiscrimination statutes and their implementing regulations: (a) Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d *et seq.*) which provides that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant received federal financial assistance; (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving federal financial assistance; (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681 *et seq.*) which prohibits discrimination on the basis of sex in education programs and activities receiving federal financial assistance; and (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101 *et seq.*) which prohibits discrimination on the basis of age in programs and activities receiving federal financial assistance, except that actions which reasonably take age into account as a factor necessary for the normal operation or achievement of any statutory objective of the project or activity shall not violate this statute.

**2. Certification Regarding Federal Debt Status.** The applicant certifies to the best of its knowledge and belief, that it is not delinquent in the repayment of any federal debt.

**3. Certification Regarding Debarment and Suspension (45 CFR 1169).** The prospective primary participant (applicant) certifies to the best of its knowledge and belief that it and its principals: (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency; (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and (d) have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state, or local) terminated for cause or default.

**4. Certification Regarding Drug-Free Workplace Requirements (Drug-Free Workplace Act of 1988).**

(A) The grantee certifies that it will provide a drug-free workplace by

(a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibitions;

(b) establishing an ongoing drug-free awareness program to inform employees about (1) the dangers of drug abuse in the workplace; (2) the grantee's policy of maintaining a drug-free workplace; (3) any available drug counseling, rehabilitation, and employee assistance programs; and (4) the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;

(c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will (1) abide by the terms of the statement; and (2) notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;

(e) notifying the agency in writing within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;

(f) taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted: (1) taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended; or (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency;

(g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

(B) The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

**5. Certification Regarding Lobbying Activities (45 CFR 1168) (Applies to Applicants Requesting Federal Funds in Excess of \$100,000).** The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, and the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than federal appropriated funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

## APPLICATION CHECKLIST

Please provide the original plus **ten** copies of:

- \_\_\_\_\_ The signed application cover sheet
- \_\_\_\_\_ Table of contents
- \_\_\_\_\_ Narrative description
- \_\_\_\_\_ Project budget
- \_\_\_\_\_ Appendices of supporting material

Additionally:

- \_\_\_\_\_ For new seminar directors only, two letters of recommendation, submitted directly to NEH by the referees.

NEH will not accept applications sent via FAX or electronic mail.

Send applications to:

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Summer Seminars and Institutes

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